

09-28-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 09-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

J38-72/60
J38-72/01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit on original and a duplicate for processing)
- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification [Total Pages 35]
(Preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed Sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
- Oath or Declaration [Total Pages 1]
 - Newly executed (original or copy)
 - Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP)of prior application No. @/

Prior application information

Examiner @/Group Art Unit @/

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	26581 <small>(Insert Customer No. or Attach bar code label here)</small>		Or	<input type="checkbox"/> Correspondence address below
Name	Edward J. Howard			
Address	Duane Morris			
City	Princeton	State	NJ	Zip Code
Country	USA	Telephone	609-919-4428	Fax

Name (Print/Type)	Edward J. Howard	Registration No. (Attorney/Agent)	42,670
Signature			
		Date	

Burden Hour Statement. This form is estimated to take 0.5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

A
09/27/01

U.S. PATENT AND TRADEMARK OFFICE, U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$660.00)

Complete if Known	
Application Number	Not Yet Assigned
Filing Date	Filed Herewith
First Named Inventor	John Roberts
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	ROBERTS-1

METHOD OF PAYMENT

- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit

24-1070

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- Applicant claims small entity status See 37 CFR 1.27

- 2. Payment Enclosed:**

EEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
106	710	208	355	Reissue filing fee

SUBTOTAL (1) (\$ 355

2. EXTRA CLAIM FEES

ENTER SEPARATE FEES		Extra Claims	Fee from below	Fee Paid
Total Claims	45	-20**	25 X 9	= 225
Independent	4	- 3 **	1 X 40	= 40
Claims				
Multiple Dependent				

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description
103	18	203	9 Claims in excess of 20
102	80	202	40 Independent claims in excess of 3
104	270	204	135 Multiple dependent claim, if not paid
109	80	209	40 **Release independent claims over original patent
110	18	210	9 **Release claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)
265

***or number previously paid, if greater. For Reissues, see above.*

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Edward J. Howard	Registration No.	42,670	Telephone	609-919-4428
Signature			Date	September 27, 2001	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of: **John Roberts**

Serial No.: **To Be Assigned**

Group Art Unit: **To Be Assigned**

Filed: **Herewith**

Examiner: **To Be Assigned**

For: **METHOD AND SYSTEM FOR DIVERSIFYING RISK
IN PRIVATELY HELD STOCK**

Certification Under 37 CFR 1.10

I hereby certify that this document (along with the enclosed Patent Application Transmittal and any documents referred to therein) is being deposited with the United States Postal Service on the date shown below with sufficient postage as "Express Mail Post Office to Addressee" Mailing Label Number No.
EL798946418US on September 27, 2001 to the following:

Box Patent Application
Assistant Commissioner for Patents
Washington, DC 20231

Dated: September 27, 2001

By: 
Edward J. Howard
Registration No. 42,670
Duane Morris & Heckscher LLP
100 College Road West, Suite 100
Princeton, NJ 08540-6604
(609) 919-4401

Docket No.: ROBERTS-1
PHI1886561.1

TOX260-E1152650